

AGENCY STRATEGIC PLAN

FOR THE FISCAL YEARS

2005-2009



ARKANSAS ETHICS COMMISSION

FUNCTIONAL AREA: CONSTITUTIONAL & ADMINISTRATIVE

AGENCY STRATEGIC PLAN APPROVAL FORM

FOR THE FISCAL YEARS

2005-2009

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| Agency Name | Arkansas Ethics Commission |
| Agency Mission Statement: To preserve public confidence in the integrity of the governmental process by promoting openness and accountability in government. | |

AGENCY GOAL 1:

To serve as the compliance and enforcement agency with respect to certain standards of conduct and public disclosure laws of the State of Arkansas.

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| Agency Name | | Arkansas Ethics Commission |
| Program | | Ethics Commission Operations |
| Program Authorization | | The Arkansas Ethics Commission was created by the passage of Initiated Act One of 1990, and it is an agency of the State of Arkansas within the meaning of Ark. Code Ann. § 25-15-202(1). The Commission's authorities and responsibilities are set forth in Ark. Code Ann. §§ 7-6-217 and 218. Generally speaking, the Commission has jurisdiction over the following: Ark. Code Ann. § 7-1-103(a)(1)-(4), (6) and (7); Ark. Code Ann. § 7-6-201 <i>et seq.</i> ; Ark. Code Ann. § 7-9-401 <i>et seq.</i> ; Ark. Code Ann. § 21-1-401 <i>et seq.</i> ; Ark. Code Ann. § 21-8-301 through § 21-8-903; and Ark. Code Ann. § 21-8-1001 <i>et seq.</i> |
| Program Definition: | | The Ethics Commission Operations provides staff support for carrying out the functions of the Arkansas Ethics Commission. The Commission's authorities and responsibilities include: (1) promulgating rules and regulations to implement and administer the statutes under the Commission's jurisdiction (hereinafter the "ethics laws"); (2) monitoring compliance with the ethics laws; (3) investigating alleged violations of the ethics laws; (4) holding monthly public meeting and conducting public hearings; (5) taking disciplinary action with respect to violations of the ethics laws, and/or referring findings to the prosecuting attorney for criminal prosecution; (6) bringing actions in circuit court to enforce orders entered in proceedings before the Commission; (7) issuing advisory opinions concerning the ethics laws; (8) drafting, reviewing and approving disclosure forms, instructions, and calendars used by candidates for public office, public servants, lobbyists, political action committees, and ballot and legislative question committees; (9) preparing and distributing educational materials for candidates for public office, public servants, lobbyists, political action committees, and ballot and legislative question committees; (10) developing and administering reminder notice programs; (11) maintaining files on all ballot question and legislative question committees registered and reporting in accordance with the Disclosure Act for Public Initiatives, Referenda and Measures Referred to Voters; and (12) making information publicly accessible in an electronic form via the internet. |
| Program Funds-Center Code: <u>0238P01</u> | | |
| AGENCY GOAL(S) # | 1 | |
| Anticipated Funding Sources for the Program: | | Miscellaneous Agencies Fund |

GOAL 1:

To enforce standards of conduct and public disclosure laws of the State of Arkansas concerning candidates for public office, public officials, appointees and employees at the state and local levels, lobbyists, political action committees, and persons involved with initiatives, referenda, and measures

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referred to voters; provide advice and assistance to persons required to comply with those laws; and maintain and make publicly available information under the Disclosure Act for Public Initiatives, Referenda and Measures Referred to Voters and the Freedom of Information Act of 1967, as amended.

OBJECTIVE 1: (Sub-Funds Center Code to be assigned by DFA Office of Accounting)

To ensure compliance with the ethics laws while providing advice and assistance to persons required to comply with those laws.

STRATEGY 1:

To maintain an administrative office providing staff support to meet the objective of the Arkansas Ethics Commission.

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| Agency Name | Arkansas Ethics Commission |
| Program | Ethics Commission Operations |

PERFORMANCE MEASURES: (Effort, Output, Outcome, and/or Efficiency)

| DESCRIPTION | METHODS AND SOURCES USED OBTAINING DATA | FISCAL YEAR 2005 | FISCAL YEAR 2006 | FISCAL YEAR 2007 | FISCAL YEAR 2008 | FISCAL YEAR 2009 |
|---|--|------------------|------------------|------------------|------------------|------------------|
| Upon the filing of a citizen complaint, complete an investigation and take final action within 150 days or, if a public hearing is held, within 180 days. <i>Goal 1, Objective 1</i> | Maintain a log of cases. | 100% | 100% | 100% | 100% | 100% |
| Conduct review exercises on a quarterly basis of reports required to be filed by lobbyists registered with the Secretary of State and take appropriate measures to address the failure to timely file such reports. <i>Goal 1, Objective 1</i> | Prepare a report concerning the results of each review exercise. | 100% | 100% | 100% | 100% | 100% |
| Conduct review exercises on a quarterly basis of reports required to be filed by political action committees registered with the Secretary of State and take appropriate measures to address the failure to timely file such reports. <i>Goal 1, Objective 1</i> | Prepare a report concerning the results of each review exercise. | 100% | 100% | 100% | 100% | 100% |
| Each fiscal year, conduct four (4) review exercises of reports required to be filed with the Secretary of State by candidates for state/district office and take appropriate measures to address the failure to timely file such reports. <i>Goal 1, Objective 1</i> | Prepare reports concerning the results of each review exercise. | 100% | 100% | 100% | 100% | 100% |

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| DESCRIPTION | METHODS AND SOURCES USED OBTAINING DATA | FISCAL YEAR 2005 | FISCAL YEAR 2006 | FISCAL YEAR 2007 | FISCAL YEAR 2008 | FISCAL YEAR 2009 |
|---|---|------------------|------------------|------------------|------------------|------------------|
| Each fiscal year, conduct review exercises in fifteen (15) counties of Statements of Financial Interest required to be filed with the County Clerk by public officials and take appropriate measures to address the failure to timely file same. <i>Goal 1, Objective 1</i> | Prepare reports concerning the results of each review exercise. | 100% | 100% | 100% | 100% | 100% |
| For each calendar quarter, send reminder notices to political action committees registered with the Secretary of State concerning the deadline for filing a quarterly report. <i>Goal 1, Objective 1</i> | Keep a copy of each reminder notice and a list of the recipients. | 100% | 100% | 100% | 100% | 100% |
| For each calendar quarter and each month in which the General Assembly is in session, send reminder notices to lobbyists registered with the Secretary of State concerning the deadline for filing a quarterly or monthly report. <i>Goal 1, Objective 1</i> | Keep a copy of each reminder notice and a list of the recipients. | 100% | 100% | 100% | 100% | 100% |
| During even numbered calendar years, send reminder notices to candidates for state/district office who have filed a political practice pledge with the Secretary of State concerning all campaign contribution and expenditure reporting deadlines. <i>Goal 1, Objective</i> | Keep a copy of each reminder notice and a list of the recipients. | 100% | 100% | 100% | 100% | 100% |
| During even numbered calendar years, send reminder notices to county clerks concerning all campaign contribution and expenditure reporting deadlines applicable to candidates for county/municipal office. <i>Goal 1, Objective 1</i> | Keep a copy of each reminder notice and a list of the recipients. | 100% | 100% | 100% | 100% | 100% |

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| DESCRIPTION | METHODS AND SOURCES USED OBTAINING DATA | FISCAL YEAR 2005 | FISCAL YEAR 2006 | FISCAL YEAR 2007 | FISCAL YEAR 2008 | FISCAL YEAR 2009 |
|--|---|------------------|------------------|------------------|------------------|------------------|
| At the beginning of each calendar year, send reminder notices to all state/district public officials concerning the filing of a Statement of Financial Interest for the previous calendar year. <i>Goal 1, Objective 1</i> | Keep a copy of the reminder notice and a list of the recipients. | 100% | 100% | 100% | 100% | 100% |
| At the beginning of each calendar year, send reminder notices to all county clerks concerning the filing of a Statement of Financial Interest for the previous calendar year by persons holding an elective office of the county. <i>Goal 1, Objective 1</i> | Keep a copy of the reminder notice and a list of the recipients. | 100% | 100% | 100% | 100% | 100% |
| At the beginning of each calendar year, send reminder notices to all municipal clerks concerning the filing of a Statement of Financial Interest for the previous calendar year by persons holding an elective office of the municipality. <i>Goal 1, Objective 1</i> | Keep a copy of the reminder notice and a list of the recipients. | 100% | 100% | 100% | 100% | 100% |
| Prior to each regular session of the General Assembly, prepare educational materials and conduct a training session for lobbyists. <i>Goal 1, Objective 1</i> | Keep a copy of the materials and the notice of training session. | 100% | 0% | 100% | 0% | 100% |
| Prior to each general election, prepare educational materials and conduct a training session for political action committees. <i>Goal 1, Objective 1</i> | Keep a copy of the materials and the notice of training session. | 0% | 100% | 0% | 100% | 0% |
| Prior to each general election, prepare educational materials and conduct five (5) training sessions for candidates for public office. <i>Goal 1, Objective 1</i> | Keep a copy of the materials and the notice of each training session. | 0% | 100% | 0% | 100% | 0% |

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| DESCRIPTION | METHODS AND SOURCES USED OBTAINING DATA | FISCAL YEAR 2005 | FISCAL YEAR 2006 | FISCAL YEAR 2007 | FISCAL YEAR 2008 | FISCAL YEAR 2009 |
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| Upon receipt of a written request for an advisory opinion, issue an advisory opinion within ninety (90) days unless good cause be shown. <i>Goal 1, Objective 1</i> | Keep a log of advisory opinion requests received and advisory opinions issued. | 100% | 100% | 100% | 100% | 100% |
| As soon as practicable after each regular session of the General Assembly, review any newly enacted laws to determine whether any existing rules promulgated by the Commission should be repealed or amended and whether any new rules should be adopted. <i>Goal 1, Objective 1</i> | Prepare a report concerning the review. | 100% | 100% | 100% | 100% | 100% |
| Upon receiving a request for public records under the Freedom of Information Act, the custodian of the Commission's records will make available within twenty-four (24) hours all nonexempt records which are not in active use or storage. Nonexempt records in active use or storage will be made available within three (3) working days. <i>Goal 1, Objective 1</i> | Maintain a file of FOIA requests and responses thereto. | 100% | 100% | 100% | 100% | 100% |
| Maintain a website making the information prescribed by Ark. Code Ann. § 25-19-108(a) publicly accessible, without charge, in an electronic form via the internet. <i>Goal 1, Objective 1</i> | Review of website. | 100% | 100% | 100% | 100% | 100% |
| Maintain a separate file for each ballot question committee or legislative question committee which submits a statement of organization and/or financial reports to the Commission and make such records open to public inspection at the office of the Commission. <i>Goal 1, Objective 1</i> | Review of records in question. | 100% | 100% | 100% | 100% | 100% |